

A.D. 2.14, Personnel Records

Prepared for signature 3/26/02 - effective 5/10/02

1. Policy. The Department of Correction shall maintain an official personnel file for each employee. An employee shall have access to information contained in the official personnel file. Other administrative files may be maintained by a supervisor as appropriate.
2. Authority and Reference.
 - A. Connecticut General Statutes Chapter 55 and Sections 4a-2, 5-200, 5-203 and 18-81.
 - B. Regulations of Connecticut State Agencies, Sections 4-23b-1 through 4-23b-7.
 - C. American Correctional Association, Standards for the Administration of Correctional Agencies, Second Edition, April 1993, Standards 2-CO-1C-01 and 2-CO-1C-23.
 - D. American Correctional Association, Standards for Adult Probation and Parole Field Services, Second Edition, March 1981, Standards 2-3032, 2-3056 and 2-3057.
 - E. American Correctional Association, Standards for Adult Correctional Institutions, Third Edition, January 1990, Standards 3-4048, 3-4065 and 3-4066.
 - F. American Correctional Association, Correctional Standards Supplement, January 1990, Standard 2-3055.
 - G. American Correctional Association, Standards for Adult Local Detention Facilities, Third Edition, March 1991, Standards 3-ALDF-1C-01, 3-ALDF-1C-21 and 3-ALDF-1C-22.
3. Definitions. For the purposes stated herein, the following definitions apply:
 - A. Medical File. A confidential file containing medical information specific to an individual employee.
 - B. Personnel File. The official personnel record containing written documentation of the employee's work history.
4. Personnel File Contents. Each employee's personnel file shall contain only information necessary to conduct official business or as required by Federal/State law or regulation. This information normally includes, but shall not be limited to:
 - A. Employment application forms;
 - B. Personnel information (e.g., Per 301, new employee checklist, etc.);
 - C. Performance evaluations;
 - D. Disciplinary records; and
 - E. Health coverage forms.
5. Information Gathering. The information contained in each personnel file shall be obtained directly from the employee to the greatest extent possible. When information must be obtained from an outside source, the employee shall be informed of the identity of the source and the reason the requesting party is obtaining the information.
6. Review. Personnel files shall be audited bi-annually by the Human

Resources office, to insure that the file contains only information that is relevant to the individual's agency employment. Each document in the file shall be examined for accuracy, timeliness, and completeness. Material that is irrelevant, inaccurate, or obsolete shall be deleted from the file, in accordance with records retention standards.

7. Employee Inspection. An employee who wishes to inspect the personnel or medical file shall submit a written request to Human Resources. The employee shall be provided a scheduled time and place to review the requested file. Such inspection shall be noted in the file by date, time, copying activity and persons in attendance. Inspection and/or copying of any materials contained in the file(s) shall be done in the presence of an authorized Human Resources representative. Copies made of the contents of the employee's file shall be charged at the applicable rate.
8. Employee Record Challenge. If after inspecting the employee's personnel or medical file, the employee believes that certain material is irrelevant, inaccurate, or obsolete, the employee may submit a written request to the Correctional Personnel Director to remove the material from the file. The Correctional Personnel Director shall either remove the material or inform the employee why the material should remain in the file.
9. Requests for Information. All requests for personnel information from outside sources which concerns applicants for employment, current employees, or former employees shall be directed to the appropriate Human Resources Office. The Human Resources representative shall release information to such outside sources only in response to a written request and only after obtaining the written consent of the individual who is subject to the inquiry except in response to the requests filed pursuant to the Freedom of Information Act in which certain types of information may be released without the employee's consent. Also, the Correctional Personnel Director may release the following information without first obtaining the consent of the individual involved:
 - A. Employment dates;
 - B. Position held;
 - C. Wage and salary information; and
 - D. Location of job site.
10. Record Updates. In order to maintain current personnel records, employees shall notify their Human Resources representative in writing of any changes in:
 - A. Name;
 - B. Address;
 - C. Telephone number;
 - D. Marital status;
 - E. Number of dependents;
 - F. Beneficiary designations for any State insurance and disability plans;
 - G. Persons to be notified in case of emergency; and
 - H. Education and training accomplishments subsequent to hiring.

When there is a change in number of dependents or marital status, the employee shall report such changes to the Payroll Office by completing a new Form W-4 and CT W-4 or other applicable form for income tax withholding purposes.

11. Records Retention. The personnel file of any former employee shall be retained for 30 years after separation. Payroll records shall be retained for three (3) years from the last date of entry or until audited. Employment contracts shall be retained for three (3) years from the last effective date. Records dealing with hires, promotions, disciplines, terminations, grievances and prohibited practice complaints and similar personnel actions shall be retained for at least three (3) years from the date of the action or until audited. If an employee transfers to another state agency, their personnel records shall be transferred to that agency.
12. Records Security. In order to guarantee the security of agency personnel records, all files shall be maintained by the Human Resources Unit. Files shall be secured during non-working hours or when the area is left unattended. Access to the files shall be permitted only on a need-to-know basis.
13. Exceptions. Any exceptions to this Administrative Directive requires prior written approval from the Commissioner.